

Overview

Roberson Consults Group is a compliance, operations, website, and business development consulting firm for boutique investment advisors. Since 2011, we have worked with more than 130 investment advisors across the country. Roberson Consults Group is a division of Roberson Ventures Group, LLC.

Affiliates


RIA Products™

RIA Marketplace featuring other service providers in the following

- Broker/Trading
- Insurance
- Technology
- Compliance
- Deal Flow

RIA Review™

Compliance Management Software



Cory Roberson (principal)
(650) 305-2688 (sales)
<http://riareview.com>
<http://riaproducts.com>
<http://robersonconsults.com>



RIA Compliance Consulting

For Boutique Investment Advisors

RIA Consults™ |

TIER 1 Mock Audit Page

Review of policies, books, and records, client files; billing, ADV, agreements; transactions; client files, trading (best execution); personal trading, fee arrangements; accounts, advertising; websites, promotional material, deliverables (reporting; questionnaires), data retention/recordkeeping (security; effectiveness) Compliance Officer Training, Suggestions for improvements, Audit Report. **Included RIA Review (premium plus) annual subscription**

Quarterly Review Package

A variation of the following: Unlimited Brochure Review; Unlimited Website Review; Unlimited Business Card/Letterhead Review; Multiple Reviews of All Existing Documents, Email Support; Phone Support, Quarterly Compliance Checklists; CRD/IARD Payment Reminders; ADV Updates, Business Development Assistance, and other projects. Includes: Quarterly Newsletter.

Included RIA Review (preium plus) annual subscription

RIA Registration Package(s)

Assistance with FINRA Entitlement Form; ADV Part 1 (IARD Online); ADV Part 2A & B Brochure, U-4 filing; Investment Advisory Agreement (sample); Annual Checklist (ongoing requirements); Policies & Procedures Manual (template), Business Continuity plan (template), Annual ADV Offer Letter (template), state follow-up.

Included RIA Review (preimum plus) annual subscription



TIER 2 Annual Review Package

Annual Review (one-time review/edit of compliance documents); Annual ADV Updates; Annual Checklist (w/ state-specific requirements); Quarterly Newsletter; Email Support. **Optional RIA Review (premium/premium plus) annual subscription**

SEC to State (State to SEC) Registration Package (existing advisors only) ADV Amendment: Part 1A, 1B, and updating Part 2A/B; Updating existing compliance documents w/ state (or SEC) information (where applicable); Update policies and procedures manual. **Optional RIA Review (premium/premium plus) annual subscription**

TIER 3 ADV Annual Amendment Package

ADV Part 1A + 2A, 2B Brochure Amendment;
Includes RIA Review (premium or premium plus) annual subscription

TIER SCHEDULE

TIER One of the following	TIER 1 Starting at \$2750	TIER 2 Starting at \$1250	TIER 3 Starting at \$495
Mock-Audit Package	✓	✗	✗
Quarterly Review Package	✓	✗	✗
RIA Registration Package	✓	✗	✗
Annual Review Packages	✗	✓	✗
SEC to State (or State to SEC) Transition Package	✗	✓	✗
ADV Amendment Package	✗	✗	✓
RIA Review	Included	Optional	Optional

